



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address	Application Number	
Application Number	Comptroller General 238 State Capitol Insurance Division Atlanta, Ga.	77-436	
2. Person to Contact	Working Title	Date Received	Date Completed
Ralph W. Terry	Assistant Chief Deputy, Inc. Commissioner - 656-2074	OCT 11 1977	NOV 10 1977
3. Action Requested	Check One: <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. <input type="checkbox"/> Amend Application No. _____		
4. Dates of Series	5. Records Series Title (followed by title used in office, if different)		
Earliest Latest	Premium Finance Company Charter and Correspondence Files		
1969 to 1977			
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?			
<p>The Comptroller General is responsible for regulating insurance companies and for administering insurance-related laws; supervising and licensing loan companies making loans up to \$2,500 or less; enforcing the State's Fire Safety Laws and Mobile Homes Sales Regulation and licensing and regulating Premium Finance Companies.</p> <p>The Insurance Division supervises insurance companies and agents, collects premium taxes, examines policy forms and policy rates, supervises Premium Finance Companies & regulates them and administers insurance related laws. The Division also licenses agents and companies and investigates consumer complaints. Also licenses Premium Finance Companies.</p>			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.			
Documents relating to: Licensing and regulating Premium Finance Companies.			
Included are: Applications for Original Certificates of Authority (Form GID-21), Corporate Charter, Biographical questionnaire (GID-23), Annual Report (GID-24) and Convenience and Vantage (GID-40). Also Correspondence.			
File is arranged: Alphabetically by company			
8. Monthly Reference Rate How often are records referred to which are:			
One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____; twenty-five months and older _____ Rarely _____			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 6 _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

The Law requires that the companies keep their files 3 years, therefore, we would like to have our files available for another 3 years.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area, hold _____ year(s); then
- ☒ Transfer to State Records Center; hold 6 _____ year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Ralph W. Long</i>	10-7-77	<i>Fred Anderson</i>	10-7-77
State Records Committee (Signature)			
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Auditor/Designee	11-8-77
		Secretary of State/Designee	11-7-77
		Attorney General/Designee	11-9-77